

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: LEWIS ET AL.  
Serial No.: 10/798,226  
Filed: MARCH 10, 2004  
Confirmation No.: 3484

Examiner: SRIVASTAVA, KAILASH C.  
Group Art Unit: 1655  
Docket: 14263.2USU1  
Notice of Allow. N/A  
Date:

Due Date: N/A

Title: METHOD FOR PRODUCING ETHANOL USING RAW STARCH

**CERTIFICATE UNDER 37 CFR 1.8:**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on September 8, 2006.

By:

Name: Denise Chamberlin

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**23552**

PATENT TRADEMARK OFFICE

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal Sheet in duplicate containing Certificate of Mailing
- ☒ Supplemental Information Disclosure Statement, Form 1449, 133 Reference(s)
- ☒ Check(s) in the amount of \$180.00 for Supplemental Information Disclosure Statement
- ☒ Return postcard

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers or any future reply, if appropriate. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

Merchant & Gould P.C.  
P.O. Box 2903  
Minneapolis, MN 55402-0903  
612.332.5300

By:

Name: Mark T. Skoog

Reg. No.: 40,178

MSkoog/SMM/dc

~~09/13/2006 WASFAW1 00000033 10798226~~

~~01 FC:1806~~

~~180.00 00~~



S/N 10/798,226

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: LEWIS ET AL. Examiner: SRIVASTAVA, KAILASH C.  
Serial No.: 10/798,226 Group Art Unit: 1655  
Filed: MARCH 10, 2004 Docket No.: 14263.2USU1  
Title: METHOD FOR PRODUCING ETHANOL USING RAW STARCH

CERTIFICATE UNDER 37 CFR 1.8:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 September 8, 2006.

By:

Name: Denise Chamberlin

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT (37 C.F.R. § 1.97(c))

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**23552**

PATENT TRADEMARK OFFICE

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted after the mailing date of a first Office Action on-the-merits or a first Office Action after filing a Request for Continued Examination under 37 C.F.R. § 1.114 or a CPA under 37 C.F.R. § 1.53(d), but before the mailing date of: i) a final action under 37 C.F.R. § 1.113; ii) a Notice of Allowance under 37 C.F.R. § 1.311; or iii) an action that otherwise closes prosecution on the application. Enclosed is a check in the amount of \$180.00 under 37 C.F.R. § 1.17(p) for consideration of the items listed on the enclosed Form 1449.

A copy of any foreign patent document or "Other Document" listed on the Form 1449 is enclosed, in accordance with 37 C.F.R. § 1.98(a)(2). Because this application was filed after June 30, 2003, copies of the U.S. Patents and U.S. patent publications listed on the enclosed Form

1449 are not provided.

09/13/2006 WASFAW1 00000033 10798226

01 FC:1806

180.00 OP

09/13/2006 WASFAW1 00000033 10798226

01 FC:1806

180.00 OP

U.S. Application No. 11/077,971; U.S. Application No. 11/077,969; and U.S. Application No. 10/798,226, are assigned to Broin and Associates, Inc. This Supplemental Information Disclosure Statement encloses litigation documents for Broin and Associates, Inc. which was subject to litigation in the U.S. District Court, District of South Dakota. The litigation is captioned Broin and Associates, Inc. v. Genencor International, Inc., Case No. 4:04-cv-04202-LLP. Plaintiff Broin and Associates, Inc. commenced the litigation in a Complaint filed December 15, 2004. The litigation was dismissed on March 6, 2006. Pursuant to the first paragraph of MPEP §2001.06(c), applicants are bringing the documents listed on the Form 1449 to the Examiner's attention.

Neither the items listed on the Form 1449 nor the other litigation documents are believed to identify with particularity any assertions made by applicants in the litigation that would be contradictory to assertions made by applicants to the Examiner responsible for the present applications. Applicants do not believe they have made any such contradictory assertions.

If desired by the Examiner, Applicants can provide copies of any of the other papers filed in the litigation (e.g., documents subject to protective order, interrogatories and responses, deposition transcripts, and the like) and not already included with this Supplemental Information Disclosure Statement, subject to applicable confidentiality restrictions. The Examiner is also invited to contact Applicants Representative at the below-listed telephone number, if there are any questions regarding this Supplemental Information Disclosure Statement or if any other assistance is needed during prosecution of the present application.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Serial No. 10/798,226  
Group Art Unit: 1655


Please charge any additional fees or credit any overpayment to Deposit Account No. 13-2725.

Respectfully submitted,

MERCHANT & GOULD P.C.  
P.O. Box 2903  
Minneapolis, MN 55402-0903  
(612) 332-5300

Dated: 8 Sept '06

Mark T. Skoog  
Mark T. Skoog  
Reg. No. 40,178  
MSkoog/SMM/dc

<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b> (Use several sheets if necessary)	Docket Number: 14263.2USUI	Application Number: 10/798,226
	Applicant: LEWIS et al.	
	Filing Date: March 10, 2004	Group Art Unit: 1655

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	District Court Civil Docket No.	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
	50-2	2004/0234649	November 25, 2004	Lewis et al.		
	50-5	4,618,579	October 21, 1986	Dwiggins et al.		
		4,279,747	July 21, 1981	Chen		
		5,688,674	November 18, 1997	Choi et al.		
		2005/0233030	October 20, 2005	Lewis et al.		
		2005/0239181	October 27, 2005	Lewis et al.		
		2005/0100996	May 12, 2005	Lantero et al.		
		4,009,074	February 22, 1977	Walton		
		4,092,434	May 30, 1978	Yoshizumi et al.		
		4,863,864	September 5, 1989	Ashikari et al.		
		2005/0136525	June 23, 2005	Baldwin et al.		
		2005/0208623	September 22, 2005	Baldwin et al.		
		6,451,063	September 17, 2002	Clarkson et al.		
		2003/0134395	July 17, 2003	Shetty et al.		
		2003/0134396	July 17, 2003	Shetty et al.		
		2003/0180900	September 25, 2003	Lantero		
		2003/0203454	October 30, 2003	Chotani et al.		
		2004/0091983	May 13, 2004	Veit et al.		
		2004/0157301	August 12, 2004	Chotani et al.		
		2004/0192896	September 30, 2004	Finch		
		2004/0219649	November 4, 2004	Olsen et al.		
		2005/0026261	February 3, 2005	Otto et al.		
		2005/0042737	February 24, 2005	Vikso-Nielsen et al.		
		RE34606	May 10, 1994	Estell et al.		
		4,760,025	July 26, 1988	Estell et al.		

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	

<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b> (Use several sheets if necessary)	Docket Number: 14263.2USU1	Application Number: 10/798,226
	Applicant: LEWIS et al.	
	Filing Date: March 10, 2004	Group Art Unit: 1655

		5,364,770	November 15, 1994	Berka et al.		
		5,721,127	February 24, 1998	Deweert et al.		
		5,721,128	February 24, 1998	Deweert et al.		
		5,736,375	April 7, 1998	Deweert et al.		
		5,736,499	April 7, 1998	Mitchinson et al.		
		5,817,498	October 6, 1998	Deweert et al.		
		5,824,532	October 20, 1998	Barnett et al.		
		5,849,549	December 15, 1998	Barnett et al.		
		5,958,739	September 28, 1999	Mitchinson et al.		
		6,074,854	June 13, 2000	Deweert et al.		
		6,136,576	October 24, 2000	Diaz-Torres et al.		
		6,171,817	January 9, 2001	Berka et al.		
		6,803,218	October 12, 2004	Seyfried et al.		
		4,474,883	October 2, 1984	Yamamoto et al.		
		4,727,026	February 23, 1988	Sawada et al.		
		4,591,560	May 27, 1986	Kainuma et al.		
		2004/0197409	October 7, 2004	Iyer et al		

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
50: 3-4	WO 03/066826	Aug. 14, 2003	PCT				
	WO 2004/081193	Sept. 23, 2004	PCT				
	WO 92/20777	Nov. 26, 1992	PCT				
	EP 0 171 218	Feb. 12, 1986	EP				
	WO 2005/052148	June 9, 2005	PCT				
	WO 2005/082155	Sept. 9, 2005	PCT				
	WO 95/13362	May 18, 1995	PCT				
	WO 03/066816	Aug. 14, 2003	PCT				
	JP 59-179093	Oct. 11, 1984	JP			Abstract	

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	

<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b> (Use several sheets if necessary)	Docket Number: 14263.2USUI	Application Number: 10/798,226
	Applicant: LEWIS et al.	
	Filing Date: March 10, 2004	Group Art Unit: 1655

	JP 58-005145	Jan. 12, 1983	JP			Abstract	
<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)							
EXAMINER INITIAL	District Court Civil Docket No.	DOCUMENT TITLE:					
		Civil Docket Sheet for Case No. 04-cv-4202 printed June 23, 2006.					
	1	COMPLAINT, filed by Broin and Associates, Inc., Entered: 12/15/2004.					
	15-1	FIRST AMENDED COMPLAINT, filed by Broin and Associates, Inc. (Attachments: # 1 Exhibit A - Press Release# 2 Exhibit B - Magazine Article), Entered: 01/25/2005					
	15-2	Press Release dated November 4, 2004, <i>Broin Companies Announces Ethanol Technology Revolution</i> .					
	15-3	Swanson, <i>Company Spotlight: Partnering in Progress</i> , <u>Ethanol Producers Magazine</u> , pp. 62-68 (Dec. 2004)					
	16	First MOTION to Expedite <i>Discovery and Supporting Brief</i> by Broin and Associates, Inc., Entered: 01/25/2005.					
	17-1	DECLARATION of Jeffrey C. Brown regrading (16) First MOTION to Expedite <i>Discovery and Supporting Brief</i> , Entered: 01/25/2005.					
	17-6	Exhibit E of Docket No. 17, Plaintiff's First Set of Interrogatories to Defendant, Entered: 01/25/2005.					
	50-1	AFFIDAVIT of Steven W. Sanford in Support of Defendant Genencor's Opposition to Motion for Summary Judgment, Entered: 02/14/2005.					
	50-6	Exhibit D of Docket No. 50, 1/10/05 letter from Mark Skoog to Ben Brown, Entered: 02/14/2005.					
	52	MEMORANDUM in Opposition regarding Docket No. 16, First MOTION to Expedite Discovery and Supporting Brief, filed by Genencor International, Inc., Entered: 02/14/2005.					
	53	MOTION for Discovery, <i>Requiring Plaintiff to Specify Trade Secrets Prior to Commencement of Discovery and Supporting Brief</i> , by Genencor International, Inc. Entered: 02/14/2005.					
	54	MOTION to Dismiss Pursuant to FRCP 12(b)(6): <i>Motion for a More Definite Statement Pursuant to FRCP 12(e) and Supporting Brief</i> , by Genencor International, Inc., Entered: 02/14/2005.					
	61	RESPONSE to Motion regarding Docket No. 53, MOTION for Discovery, <i>Requiring Plaintiff to Specify Trade Secrets Prior to Commencement of Discovery and Supporting Brief</i> , filed by Broin and Associates, Inc., Entered: 02/28/2005.					
	62	REPLY to Motion Response regarding Docket No. 16, First MOTION to Expedite Discovery and Supporting Brief, filed by Broin and Associates, Inc., Entered: 03/01/2005.					
	67	REPLY to Motion Response regarding Docket No. 53, MOTION for Discovery, <i>Requiring Plaintiff to Specify Trade Secrets Prior to Commencement of Discovery and Supporting Brief</i> , filed by Genencor International, Inc. Entered: 03/02/2005.					
	68	FORM 35 REPORT of Parties Planning Meeting and Scheduling Information, Entered: 03/03/2005.					
	77	MEMORANDUM in Opposition regarding Docket No. 54, MOTION to Dismiss Pursuant to FRCP 12(b)(6); Motion for a More Definite Statement Pursuant to FRCP 12(e) and Supporting Brief, filed by Broin and Associates, Inc. Entered: 03/09/2005.					
	85	REPLY to Motion Response regarding Docket No. 54, MOTION to Dismiss Pursuant to FRCP 12(b)(6); Motion for a More Definite Statement Pursuant to FRCP 12(e) and Supporting Brief, filed by Genencor International, Inc., Entered: 03/23/2005.					
	90	RESPONSE to Docket No. 87 Brief, <i>Regarding Genencor's Objections to Broin's Identification of Trade Secrets</i> , filed by Broin and Associates, Inc., Entered: 04/11/2005.					

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	

<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b>  (Use several sheets if necessary)	Docket Number: 14263.2USU1	Application Number: 10/798,226
	Applicant: LEWIS et al.	
	Filing Date: March 10, 2004	Group Art Unit: 1655

95	FORM 35 REPORT of Parties Planning Meeting <i>and Scheduling Information</i> , Entered: 04/18/2005.
102	Genencor's NOTICE to Take Deposition of Novozymes North America, Inc., Entered: 05/02/2005.
112	TRANSCRIPT of Proceedings held on 3/4/05 regarding Docket No. 69, Motion Hearing, Entered: 05/13/2005.
132	MEMORANDUM OPINION AND ORDER regarding Docket No. 54, denying in part MOTION to Dismiss as to Counts III, IV, V, and VIII and granting without prejudice to Plaintiff's right to amend as to Counts VI and VII; denying Docket No. 54, Motion for a More Definite Statement Signed by Judge Lawrence L. Piersol on 7/26/05, Entered: 07/26/2005.
138	Genencor International, Inc.'s ANSWER to Amended Complaint and COUNTERCLAIM against Broin and Associates, Inc., by Genencor International, Inc. Entered: 08/29/2005.
148	REPLY to Docket No. 138, Answer to Amended Complaint, Counterclaim filed by Broin and Associates, Inc., Broin and Associates, Inc., Entered: 09/20/2005.
153	MEMORANDUM in Support regarding Docket No. 152, MOTION to Dismiss First Amended Complaint Based on Intentional Violations of Protective Order filed by Genencor International, Inc.. (Sanford, Steven) (Entered: 09/30/2005)
	Bardini, G. et al., "Continuous clarification of grape must by flotation," <i>Vini d'italia</i> , Vol. 34, No. 1, pp. 31-38 (1992) (1 page Abstract)
	Copy of PCT-US2005-008156 Invitation to Pay Fees dated 12-9-2005
	Copy of PCT-US2005-008156 International Search Report dated 03-7-2006 and Written Opinion
	Copy of PCT2005US008155 International Search Report Dated 11-30-2005 and Written Opinion
	Han, M. et al., "Saccharification and Ethanol Fermentation from Uncooked Starch Using <i>Aspergillus niger</i> Koji," <i>Korean J. Food Sci. Technol.</i> , Vol. 17, No. 4, pp. 258-264 (1985)
	Makarov, O. et al., "Quality improvement of table wines following continuous clarification treatments," <i>Kharachova Promislovist</i> (1976) (1 page Abstract)
	Singleton, P. et al., 1991. Dictionary of Microbiology and Molecular Biology, 1991. John Wiley and Sons. Pg. 964, Column 1, ll. 45-48
	Suresh, K. et al., "Production of ethanol by raw starch hydrolysis and fermentation of damaged grains of wheat and sorghum," <i>Bioprocess Engineering</i> , Vol. 21, pp. 165-168 (1999)
	PCT Patent Title Word Search, Genencor Assignee, October 4, 2005
	Genencor Inventor Search, October 3, 2005
	Patent Title Word Search, September 28, 2005
	Dunn-Coleman et al., "Production of granular starch hydrolyzing enzymes for low energy grain ethanol production", 27th Symposium on Biotechnology for Fuels and Chemicals, Genencor Presentation (May 2005)
	Bryan, "Changing the Game", <i>Ethanol Producer Magazine</i> , pp. 58-63 (August 2005)
	Narita et al., "Efficient Production of L-(+)-Lactic Acid from Raw Starch by <i>Streptococcus bovis</i> 148", <i>Journal of Bioscience and Bioengineering</i> , vol. 97, no. 6, 423-425 (2004)
	Brown et al., "The effect of temperature on the ethanol tolerance of the yeast, <i>Saccharomyces Uvarum</i> ", <i>Biotechnology Letters</i> , vol. 4, no. 4, 269-274 (1982)
	Casey et al., "Reevaluation of Alcohol Synthesis and Tolerance in Brewer's Yeast", <i>American Society of Brewing Chemists, Inc.</i> , vol. 43, no. 2, pp. 75-83 (1985)
	Jones, "review: Biological principles for the effects of ethanol", <i>Enzyme Microb. Technol.</i> , vol. 11, pp. 130-153 (March 1989)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	



<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b>  (Use several sheets if necessary)	Docket Number: 14263.2USUI	Application Number: 10/798,226
	Applicant: LEWIS et al.	
	Filing Date: March 10, 2004	Group Art Unit: 1655

	van Uden et al., "Effects of ethanol on yeast performance: targets and underlying mechanisms", <u>European Brewery Convention</u> , Proceeding of the 19th Congress, London (1983) pp. 137-144
	GCOR Lantero patent application search USPTO site.5.17.05
	Rosentrater, "Understanding Distillers Grain Storage, Handling and Flowability Challenges", <u>Distillers Grains Quarterly</u> , First Quarter 2006, pp. 18-21
	Shurson, "The Value of High-Protein Distiller Coproducts in Swine Feeds", <u>Distillers Grains Quarterly</u> , First Quarter 2006, pp. 22, 27-28
	Jacques et al., <u>The Alcohol Textbook</u> , 3rd Edition, A reference for the beverage, fuel and industrial alcohol industries, Nottingham University Press 1999, Alltech Inc. 1999 (386 pages)
	Jacques et al., <u>The Alcohol Textbook</u> , 4rd Edition, A reference for the beverage, fuel and industrial alcohol industries, Nottingham University Press 2003 Alltech Inc. 2003 (446 pages)
	Allison et al., "Transformation of the thermophilic fungus <i>Humicola grisea</i> var. <i>thermoidea</i> and overproduction of <i>Humicola</i> glucoamylase", <u>Curr Genet</u> (1992) 21:225-229
	Ashikari et al., "Rhizopus Raw-Starch-Degrading Glucoamylase: Its Cloning and Expression in Yeast", <u>Agric. Biol. Chem.</u> , 50(4), 957-964 (1986)
	Belya et al., "Composition of corn and distillers dried grains with solubles from dry grind ethanol processing", <u>Bioresource Technology</u> 94(2004) 293-298
	Biswas et al., "Analysis of Headspace Compounds of Distillers Grains using SPME in Conjunction with GC/MS and TGA", <u>Journal of Cereal Science</u> , 33(2001) 223-229
	Boel et al., "Glucoamylases G1 and G2 from <i>Aspergillus niger</i> are synthesized from two different but closely related mRNAs", <u>The EMBO Journal</u> , vol. 3, no. 5, pp. 1097-1102 (1984)
	Chen et al., "Effect of replacing helical glycine residues with alanines on reversible and irreversible stability and production of <i>Aspergillus awamori</i> glucoamylase", <u>Protein Engineering</u> , vol. 9, no. 6, pp. 499-505 (1996)
	Dettori-Campus et al., "Hydrolysis of Starch Granules by the Amylase from <i>Bacillus stearothermophilus</i> NCA 26", <u>Process Biochemistry</u> , 27 (1992) 17-21
	Han et al., "Amylolysis of raw corn by <i>Aspergillus Niger</i> from simultaneous ethanol fermentation", <u>Biotechnology and Bioengineering</u> , vol. 30, pp. 225-232 (1987)
	Hayashida et al., "High Concentration-Ethanol Fermentation of Raw Ground Corn", <u>Agric. Biol. Chem.</u> , 46(7), 1947-1950 (1982)
	Hayashida et al., "Molecular cloning of Glucoamylase I Gene of <i>Aspergillus awamori</i> var. <i>kawachi</i> for Localization of the Raw-starch-affinity Site", <u>Agric. Biol. Chem.</u> , 53(4), 923-929 (1989)
	Jensen et al., "Purification of extracellular amylolytic enzymes from the thermophilic fungus <i>Thermomyces lanuginosus</i> ", <u>Can. J. Microbiol.</u> , vol. 34, 218-223 (1988)
	Joutsjoki et al., "A Novel Glucoamylase Preparation for Grain Mash Saccharification", <u>Biotechnology Letters</u> , vol. 15, no. 3, pp. 227-282 (March 1993)
	Lang et al., "Recycle Bioreactor for Bioethanol Production from Wheat Starch II. Fermentation and Economics", <u>Energy Sources</u> , 23:427-436 (2001)
	Lutzen, "Enzyme Technology in the Production of Ethanol - Recent Process Development", <u>Advances in Biotechnology</u> , Vol. II: Fuels, Chemicals, Foods and Waste Treatment, 1981 Pergamon Press Canada Ltd., pp. 161-167
	Matsumoto et al., "Industrialization of a Noncooking System for Alcoholic Fermentation from Grains", <u>Agric. Biol. Chem.</u> , 46(6): 1549-1558 (1982)
	Matsuoka et al., "Alcoholic Fermentation of Sweet Potato without Cooking", <u>J. Ferment. Technol.</u> , vol., 60, no. 6, pp. 599-602 (1982)
	Morris et al., "AFM Images of Complexes between Amylose and <i>Aspergillus niger</i> Glucoamylase Mutants, Native and Mutant Starch Binding Domains: A Model for the Action of Glucoamylase", <u>Starch/Stärke</u> , 57: 1-7 (2005)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	

<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b>  (Use several sheets if necessary)	Docket Number: 14263.2USUI	Application Number: 10/798,226
	Applicant: LEWIS et al.	
	Filing Date: March 10, 2004	Group Art Unit: 1655

	Narendranath et al., "Acetic Acid and Lactic Acid Inhibition of Growth of <i>Saccharomyces cerevisiae</i> by Different Mechanisms", <i>American Society of Brewing Chemists, Inc.</i> , 59(4):187-194 (2001)
	Narendranath et al., "Effect of yeast inoculation rate on the metabolism of contaminating lactobacilli during fermentation of corn mash", <i>J. Ind. Microbiol. Biotechnol.</i> , 31:581-584 (2004)
	Narendranath et al., "Effects of acetic acid and lactic acid on the growth of <i>Saccharomyces cerevisiae</i> in a minimal medium", <i>Journal of Industrial Microbiology &amp; Biotechnology</i> , 26: 171-177 (2001)
	Narendranath et al., "Effects of Lactobacilli on Yeast-Catalyzed Ethanol Fermentations", <i>Applied and Environmental Microbiology</i> , vol., 60, no. 11, p. 4158-4163 (Nov. 1997)
	Neelakantam et al., "Relationship between pH and Medium Dissolved Solids in Terms of Growth and Metabolism of Lactobacilli and <i>Saccharomyces cerevisiae</i> during Ethanol Production", <i>Applied and Environmental Microbiology</i> , vol. 71, no. 5, p. 2239-2243 (May 2005)
	Narendranath et al., "Urea Hydrogen Peroxide Reduces the Number of Lactobacilli Nourishes Yeast, and Leaves No Residues in the Ethanol Fermentation", <i>Applied and Environmental Microbiology</i> , vol. 66, no. 10, p. 4187-4192 (Oct. 2000)
	Porter et al., "Variability in Soy Flour Composition", <i>JAOCs</i> , vol. 80, no. 6, pp. 557-562 (2003)
	Shibuya et al. "Molecular Cloning of the Glucoamylase Gene of <i>Aspergillus shirousami</i> and Its Expression in <i>Aspergillus oryzae</i> ", <i>Agric. Biol. Chem.</i> , 54(8):1905-1914 (1990)
	Sigmund et al., "The Economics of Fair Play", <i>Scientific American</i> , pp. 83-87 (Jan. 2002)
	Taylor et al., "Some Properties of a Glucoamylase Produced by the Thermophilic Fungus <i>Humicola lanuginosa</i> ", <i>Carbohydrate Research</i> , 61:301-308 (1978)
	Thammarutwasik et al., "Alcoholic Fermentation of Sorghum Without Cooking", <i>Biotechnology and Bioengineering</i> , vol. 28, pp. 1122-1125 (July 1986)
	Tosi et al., "Purification and characterization of an extracellular glucoamylase from the thermophilic fungus <i>Humicola grisea</i> var. <i>thermoidea</i> ", <i>Can. J. Microbiol.</i> , vol. 39, pp. 846-852 (1993)
	Ueda et al., "Alcoholic Fermentation of Raw Starch without Cooking by Using Black- <i>koji</i> Amylase", <i>J. Ferment. Technol.</i> , vol. 58, no. 3, p. 237-242 (1980)
	Ueda et al., "Direct hydrolysis of raw starch", <i>Microbiological Sciences</i> , vol. 1, no. 1, pp. 21-24 (1984)
	Ueda, "Ethanol Fermentation of Starch Materials without Cooking", <i>J. Jap. Soc. Starch Sci.</i> , 29(2):123-130 (1982), (English Abstract)
	Weller et al., "Fuel Ethanol from Raw Corn by <i>Aspergilli</i> Hydrolysis with Concurrent Yeast Fermentation", <i>Biotechnology and Bioengineering Symp.</i> , No. 13, pp. 437-447 (1983)
	Thomas et al., "Fuel Alcohol Production: Effects of Free Amino Nitrogen on Fermentation of Very-High-Gravity Wheat Mash", <i>Applied and Environmental Microbiology</i> , vol. 56, no. 7, p. 2046-2050 (July 1990)
	Biofuels News, vol. 4, no. 3 (Fall 2001)
	Knott et al., "Effects of the Nutrient Variability of Distiller's Solubles and Grains within Ethanol Plants and the Amount of Distiller's Solubles Blended with Distiller's Grains on Fat, Protein and Phosphorus Content of DDGS",
	Naidu et al., "Effect of Particle Size Reduction on Saccharification in Dry Grind Corn Processing", Department of Agriculture of Biological Engineering, University of Illinois at Urbana Champaign, Poster Presentation 2002 or later.
	DeWitt-Dick et al., "A chemical free method of microbiological control in recirculating cooling water systems".
	McAlon et al., "Determining the Cost of Producing Ethanol from Corn Starch and Lignocellulosic Feedstocks", <i>Technical Report NREL/TP-580-28893</i> , (Oct. 2000) <a href="http://www.doe.gov/bridge">www.doe.gov/bridge</a>
	McLean et al., "A Novel Method for Quantitation of Active Yeast Cells", <i>Technical Report</i> , 2:1-5 (2001)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	

<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b>  (Use several sheets if necessary)	Docket Number:	Application Number:
	14263.2USU1	10/798,226
	Applicant: LEWIS et al.	
	Filing Date: March 10, 2004	Group Art Unit: 1655

	McLean et al., "Fluorometric Method for Measuring Yeast Metabolic Activity", <u>Technical Report</u> , 3:5-25 (2002)
	"Ethanol Fuels: The Clean Breeze"
	Knott et al., "Variation in Particle Size and Bulk Density of Distiller's Dried Grains with Solubles (DDGS) Produced by "New Generation" Ethanol Plants in Minnesota and South Dakota"
	Shurson, "The Effect of Nutrient Variability of Corn on Estimated Nutrient Variability of DDGS"
	Yue et al., "Functionality of resistant starch in food applications", National Starch & Chemical (reprinted from December 1998 issue of Food Australia) (1999)
	Hamdy et al., "Effects of virginiamycin on Fermentation Rate by Yeast", <u>Biomass and Bioenergy</u> , vol. 11, no. 1, pp. 1-9 (1996)
	Islam et al., "Stability of virginiamycin and penicillin during alcohol fermentation", <u>Biomass and Bioenergy</u> , 17: 369-376 (1999)
	Daugulis et al., "The Economics of Ethanol Production by Extractive Fermentation", <u>The Canadian J. of Chemical Engineering</u> , vol. 69, pp. 488-497 (April 1991)
	Taylor et al., "Dry-Grind Process for Fuel Ethanol by Continuous Fermentation and Stripping", <u>American Chemical Society and American Institute of Chemical Engineers</u> , accepted for publication 03/27/2000, pg. A-G.
	"SIU Edwardsville National Corn to Ethanol Research Pilot Plant Process Description", Project Number 24307-78188, Washington Group November 12, 2001
	"Ready for Research", <u>BioFuels Journal</u> , pp. 20-23 (4Q04)
	Bothast, "Ethanol research facility one of a kind", <u>Industrial oil products article</u> , vol., 15(8):518-519 (Aug. 2004)
	Tritto et al., "2 grants, 6 clients boot yields at ethanol center", <u>St. Louis Business Journal</u> , Nov. 26-Dec. 2, 2004
	Saha et al., "Raw Starch Adsorption, Elution and Digestion Behaviour of Glucoamylase of <i>Rhizopus niveus</i> ", <u>J. Ferment. Technol.</u> , Vol. 61, No. 1, p. 67-72, 1983
	Hayashida et al., "Raw Starch-digestive Glucoamylase Productivity of Protease-less Mutant from <i>Aspergillus awamori</i> var. <i>kawachi</i> ", <u>Agric. Biol. Chem.</u> , 45 (12), p. 2675-2681, 1981
	Norman et al., "Process Considerations for the Production of Ethanol from Cereals", <u>Novo Research Institue - Denmark</u> , p. 1-15, Date Unknown
	Fujio et al., "Alcoholic Fermentation of Raw Cassava Starch by <i>Rhizopus koji</i> without Cooking", <u>Biotechnology and Bioengineering</u> , Vol. XXVI, p. 315-319, 1984
	Mikuni et al., "Alcohol Fermentation of Corn Starch Digested by <i>Chalara paradoxa</i> Amylase without Cooking", <u>Biotechnology and Bioengineering</u> , Vol. XXIX, p. 729-732, 1987
	Springer Link-Article, Web Page - Article - Natural Resources - "Ethanol Fuels: Energy Balance, Economics, and Environmental Impacts Are Negative", Printed July 5, 2005, Pages 1-2
	Fujio et al., "Ethanol Fermentation of Raw Cassava Starch with <i>Rhizopus Koji</i> in a Gas Circulation Type Fermentor", <u>Biotechnology and Bioengineering</u> , Vol. 27:1270-1273, August 1985
	Berven, "The Making of Broin Project X", <u>Ethanol Producer Magazine</u> , February 2005, Pages 66-71
	"Very High Gravity Technology", <u>Ethanol Producer Magazine</u> , January 2006
	"Resistant starch: the new generation of fibre", <u>Functional Foods &amp; Nutraceuticals</u> , September/October, Pages 20-22
	"Fluidised Bed Dryers and Coolers", <u>Barr-Rosin, GEA Powder Technology Division</u> , Date Unknown
	"Grain Processing Enzymes for Sweetener Production", <u>Genencor International</u> , April 2004, Pages 1-3

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	

<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b>  (Use several sheets if necessary)	Docket Number: 14263.2USUI	Application Number: 10/798,226
	Applicant: LEWIS et al.	
	Filing Date: March 10, 2004	Group Art Unit: 1655

		"More profit, less waste from ethanol", <u>Star &amp; Tribune</u> , Date Unknown
		"NOVELOSE <sup>®</sup> Resistant Starch - The starch that thinks it's a fiber", <u>National Starch and Chemical Company</u> , 2003
		"Nutrient composition of DDGS (100% dry matter basis) from various references - Table 1", <u>Distillers Grains Quarterly</u> , First Quarter 2006, pp. 27-28
		Argus Leader.Com., Web Page - Business - Broin Goes to Court, Printed June 27, 2006, Pages 1-3
		"Argonne National Laboratory Ethanol Study: Key Points", <u>Office of Energy Efficiency and Renewal Energy - U.S. Department of Energy</u> , Pages 1-3
		"Enzymatic modification of starch granules: peeling off versus porosity", <u>TNO Nutrition and Food Research</u> , December 28, 2000, Pages 1-2

**23552**

PATENT TRADEMARK OFFICE

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	